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PTO/SB/29 (12/97)

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	8449-183-999	Total Pages	71
First Named Inventor or Application Identifier			
Pramod K. Srivastava			
Express Mail Label No.	EL 477 032 354 US		

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

- ☒ Fee Transmittal Form  
Submit an original, and a duplicate for fee processing) [Total Pages 4]
- ☒ Specification (preferred arrangement set forth below) [Total Pages 36]  
-Descriptive title of the Invention  
-Cross Reference to Related Applications  
-Statement Regarding Fed sponsored R&D  
-Reference to Microfiche Appendix  
-Background of the Invention  
-Brief Summary of the Invention  
-Brief Description of the Drawings (if filed)  
-Detailed Description of the Invention (including drawings, if filed)  
-Claim(s)  
-Abstract of the Disclosure
- ☐ Drawing(s) (35 USC 113) [Total Sheets 1]
- ☒ Oath or Declaration [Total Sheets 6]  
a. ☒ Newly executed (original or copy)  
b. ☒ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)

### [Note Box 5 below]

#### i. ☐ DELETION OF INVENTOR(S)

Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33 (b).

- ☒ Incorporation By Reference (useable if Box 4b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

- ☐ Microfiche Computer Program (Appendix)
- ☐ Nucleotide and/or Amino Acid Sequence (if applicable, all necessary)
  - ☐ Computer Readable Copy
  - ☐ Paper Copy (identical to computer copy)
  - ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

- ☐ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney (when there is an assignee)
- ☐ English Translation Document (if applicable)
- ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations (Reference AC and EM) [Total Sheets 7]
- ☒ Preliminary Amendment [Total Sheets 8]
- ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
- ☒ Applicant claims Small Entity status, see 37 C.F.R. § 1.27 Copy of Small Entity Statement filed in prior Application Serial No. 08/315,892, status still proper and desired [Total Sheets 5]
- ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
- ☒ Other: Copy of Revocation and Power of Attorney, and copy of Supplemental Declaration and Power of Attorney, originally filed in prior Application Serial No. 08/315,892 [Total Sheets 4]

- If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application Serial No: 09/489,218 filed January 21, 2000, which is a continuation of prior application Serial No. 09/061,365 filed April 16, 1998, now U.S. Patent No. 6,017,544, which is a divisional of prior application Serial No. 08/315,892 filed September 30, 1994, now U.S. Patent No. 5,750,119.

## 18. CORRESPONDENCE ADDRESS

Customer Number: 20583



(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

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Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

Express Mail No.: EL 477 032 354 US**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**Prior application: Examiner Bansal, G.Art Unit 1642

Assistant Commissioner for Patents  
 Box PATENT APPLICATION  
 Washington, D.C. 20231

Sir:

This is a request for filing a ☒ continuation ☐ divisional application under 37 CFR § 1.53(b), of  
 pending prior application no. 09/489,218 filed on January 21, 2000.

of Pramod K. Srivastava  
 (inventor(s) currently of record in prior application)

for Immunotherapeutic Stress Protein-Peptide Complexes Against Cancer  
 (title of invention)

1. ☒ The filing fee is calculated below, taking into account the Preliminary Amendment submitted herewith:

**PATENT APPLICATION FEE VALUE**

TYPE	NO. FILED	LESS	EXTRA	EXTRA RATE	FEE
Total Claims	25	-20	5	\$18.00 each	\$ 90.00
Independent	7	-3	4	\$84.00 each	\$ 320.00
Basic Fee					\$ 740.00
Multiple Dependency Fee If Applicable (\$280.00)					\$ 280.00
<b>Total</b>					<b>\$ 1,660.00</b>
50% Reduction for Independent Inventor, Nonprofit Organization or Small Business Concern					- \$ 830.00
<b>Total Filing Fee</b>					<b>\$ 830.00</b>

2. ☒ Please charge the required fee to Pennie & Edmonds LLP Deposit Account No. 16-1150. A copy of this sheet is enclosed.
3. ☒ Amend the specification by inserting on page 1, under the title, the following sentence: --This is a continuation of application no. 09/489,218 filed January 21, 2000, which is a continuation of application no. 09/061,365 filed April 16, 1998, now U.S. Patent No. 6,017,544, which is a division of application no. 08/315,892 filed September 30,

1994, now U.S. Patent No. 5,750,119, each of which is incorporated by reference herein in its entirety.--

- 4a. ☐ New formal drawings are enclosed.
- 4b. ☐ Informal drawings are enclosed.
- 5a. ☐ Priority of application no. filed on in is claimed under 35 U.S.C. §119.
- 5b. ☐ The certified copy has been filed in prior application no. , filed .
6. ☒ The prior application is assigned of record to Mount Sinai School of Medicine of New York University, recorded at Reel 7524, Frame 0401 on June 26, 1995.
- 7a. ☒ A copy of the Power of Attorney filed in the prior application no. 08/315,892, filed September 30, 1994 is enclosed. A copy of the Supplemental Declaration and Power of Attorney filed in prior Application Serial No. 08/315,892 is also submitted herewith.
- 7b. ☐ A Power of Attorney is enclosed.
8. ☐ This application contains nucleic acid and/or amino acid sequences required to be disclosed in a Sequence Listing under 37 CFR §§1.821-1.825. It is requested that the Sequence Listing in computer readable form from prior application no., filed on be made a part of the present application as provided for by 37 C.F.R. §1.821(e). The sequences disclosed therein are the same as the sequences disclosed in this application. A copy of the paper Sequence Listing from application no. is enclosed.
9. ☐ The undersigned states, under 37 C.F.R. §1.821(f), that the content of the enclosed paper Sequence Listing from application no. is the same as the content of the computer readable form submitted in application no. .
10. ☒ Additional enclosures or instructions. Preliminary Amendment, copy of Revocation and Power of Attorney for Application Serial No. 08/315,892; a copy of Verified Statements (Declaration) Claiming Small Entity Status for Application Serial No. 08/315,892; an Information Disclosure Statement; a List of References Cited by Applicant; and a copy of references AC and EM.

Date November 14, 2001

Respectfully submitted,

*Adriane M. Antler* *Reg. No. 31,232*  
*By Geraldine Lewis Band*

32,605

Adriane M. Antler (Reg. No.)  
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